UNITED STATES DISTRICT COURT WESTERN DISTRICT OF TEXAS **AUSTIN DIVISION**

QUICKVAULT, INC.,

Plaintiff,

Case No.: 1:24-cy-00864

v.

BROADCOM INC., d/b/a BROADCOM **CORPORATION**

JURY TRIAL DEMANDED

Defendant.

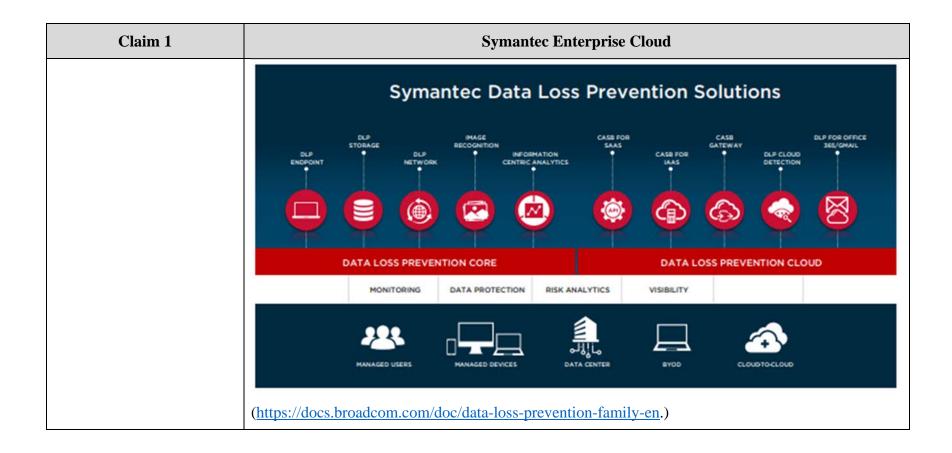
EXHIBIT I

'092 Patent Infringement Claim Chart

EXHIBIT I: U.S. PATENT NO. 9,961,092 INFRINGEMENT CLAIM CHART¹

Claim 1	Symantec Enterprise Cloud
A forensic computing platform deployed as a cloud control server, which comprises	The preamble is presumptively not limiting. To the extent the preamble is limiting, Symantec Enterprise Cloud is a forensic computing platform deployed as a cloud control server. Symantec Enterprise Cloud Buy via Partner
	Symantec Enterprise Cloud delivers data-centric hybrid security for the largest, most complex organizations in the world – on devices, in private data centers, and in the cloud. • Consistent Compliance: Apply and manage compliance controls consistently across the infrastructure. • Secure Remote Work: Protect critical enterprise assets wherever they live and from wherever they are accessed. • Data and Threat Protection Everywhere: Unify intelligence across control points to detect, block, and remediate targeted attacks.
	(https://www.broadcom.com/products/cybersecurity)

¹ The evidence of infringement identified in the below chart is exemplary and nonlimiting. QuickVault reserves the right to rely on additional and/or alternative aspects of Symantec Enterprise Cloud and related components during this litigation for the purpose of establishing infringement.



Claim 1		Symantec Enterprise Cloud
an analytic component,	About	scanning targeted endpoints ay 3, 2024
	You can use targ	geted Endpoint Discover scans to do the following:
	Define an En	adpoint Discover scan that uses multiple Endpoint Servers to target endpoints.
	An Endpoint endpoints us	dpoint Discover scan that targets individual endpoints. Discover Target can be configured to scan specific endpoints. You can identify the ing host name or IP address. You can also upload a file that lists endpoints by host name iss. Scan policies are applied only on these specified endpoints.
	Creating an End	point Discover scan
	You can use one Discover Target:	e of the following options as described in the following table when creating an Endpoint
	Options for creat	ting an Endpoint Discover target
	Option	Description
	Specify the Endpoint Servers without specifying the endpoints	In this case, the Enforce Server sends the scan details to the specified Endpoint Servers. When the endpoints connect to the specified Endpoint Servers, then the scan details are sent to them.
	Specify the Endpoint Servers and the endpoints	In this case, the Enforce Server sends the scan details to the specified Endpoint Servers. When the specified endpoint connects to the specified Endpoint Server, the scan details are sent to the specified endpoints. Thus, only the specified endpoints run the scan, and optimize the network bandwidth and save time.

Claim 1	Symantec Enterprise Cloud
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/about-discovering-and-preventing-data-loss-on-endpoints/about-network-discover-scanning/about-scanning-targeted-endpoints.html)
	About Endpoint Discover full scanning
	Last Updated May 3, 2024
	An Endpoint Discover Target can be configured to use the full scan option. This option scans all the files on the endpoint.
	If you have changed the policy or modified the filters significantly in an existing endpoint target and want these changes to take effect, then you may need to run a full scan instead of an incremental scan.
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/about-discovering-and-preventing-data-loss-on-endpoints/about-network-discover-scanning/about-endpoint-discover-full-scanning.html)

Claim 1	Symantec Enterprise Cloud
a reporting component,	Setting Report Preferences
	Last Updated February 16, 2024
	You can specify your preferences for the reports that Symantec Data Loss Prevention displays in the navigation panel for each of the report types.
	1. In the Enforce Server administration console, on the Incidents menu, click All Reports.
	2. On the All Reports screen, click Edit Preferences.
	The Edit Report Preferences screen lists any saved reports (for all your assigned roles). The screen also lists Network, Endpoint, Discover, and Applications (Cloud and API Appliance) reports.
	To display a report in the list, check the Show Report box for that report. To remove a report from the list, clear the Show Report box for that report.
	The selected list of reports displays in a left navigation panel for each of the types of reports. For example, to see the list of Network reports, on the Incidents menu, click Network .
	4. Click Save.
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-1/Incidents/managing-and-reporting-incidents/setting-report-preferences-id-sf0b0127086-d336e1191.html)

About Incident Reports

Last Updated February 16, 2024

Use incident reports to track and respond to incidents on your network. Symantec Data Loss Prevention reports an incident when it detects data that matches a detection rule in an active policy. Such data may include specific file content, an email sender or recipient, attachment file properties, or many other types of information. Each piece of data that matches a detection rule is called a match, and a single incident may include any number of individual matches.

Note

To configure which reports appear in the navigation panel, go to All Reports and click Edit Preferences.

Symantec Data Loss Prevention provides the following types of incident reports:

Incident lists

These show individual incident records containing information such as severity, associated policy, number of matches, and status. You can click on any incident to view a snapshot containing more details. You can select specific incidents or groups of incidents to modify or remediate.

Summaries

These show incident totals organized by a specific incident attribute such as status or associated policy. For example, a Policy Summary includes rows for all policies that have associated incidents. Each row includes a policy name, the total number of associated incidents, and incident totals by severity. You can click on any severity total to view the list of relevant incidents.

Double summaries These show incident totals organized by two incident attributes. For example, a policy trend summary shows the total incidents by policy and by week. Similar to the policy summary, each entry includes a policy name, the total number of associated incidents, and incident totals by severity. In addition, each entry includes a separate line for each week, showing the week's incident totals and incidents by severity.

Claim 1		Symantec Enterprise Cloud
	Dashboards and executive summaries	These are quick-reference dashboards that combine information from several reports. They include graphs and incident totals representing the contents of various incident lists, summaries, and double summaries. Graphs are sometimes beside lists of high-severity incidents or lists of summary groups. You can click on constituent report names to drill down to the reports that are represented on the dashboard.
		Symantec Data Loss Prevention ships with executive summaries for Network, Endpoint, and Discover reports, and these are not customizable.
		You can create dashboards yourself, and customize them as desired.
	Custom	Lists the shared reports that are associated with your current role. (Such reports appear only if you or other users in your current role have created them.)
	Network	Lists the network incident reports.
	Endpoint	Lists the Endpoint incident reports. Endpoint reports include incidents such as Endpoint Block and Endpoint Notify incidents.
		Incidents from Endpoint Discover are included in Discover reports.
	Discover	Lists Network Discover and Endpoint Discover incident reports.
		The folder risk report displays file share folders ranked by prioritized risk. The risk score is based on the relevant information from the Symantec Data Loss Prevention incidents plus the information from the VML Management Server.

Case 1:24-cv-00864-DII Document 1-10 Filed 08/01/24 Page 9 of 63

Claim 1		Symantec Enterprise Cloud
	Cloud Applications and API Appliance	Lists Cloud Applications and API Appliance reports.
	Users	The User List lists the data users in your organization. The User Risk Summary lists all users with their associated Email and Endpoint incidents.
	,	oadcom.com/us/en/symantec-security-software/information-security/data-loss-incidents/managing-and-reporting-incidents/about-incident-reports-vont_0016-

an alert component

About Endpoint Prevent response rules in different locales

Last Updated May 3, 2024

You can create different endpoint response rule notifications that are specific to the locale of an endpoint. A locale refers to the system locale setting in the operating system of the endpoint.

For example, you create response rule notifications in English, French, or Japanese. If a user's locale is specified as Japanese, the Japanese-language version of the notification appears on the user's screen. If a different user with a French locale violates the same policy, the French-language version of the notification appears.

The Enforce Server lets you specify multiple user notifications. However, the first language that is specified is the default language. You cannot delete the default language response notification. You can add or delete any notification or language that is not specified as the default language. At installation, the default language is set to whichever language is set as the Enforce Server language. If the language you want is unsupported, the Enforce Server tries to display the English-language notification.

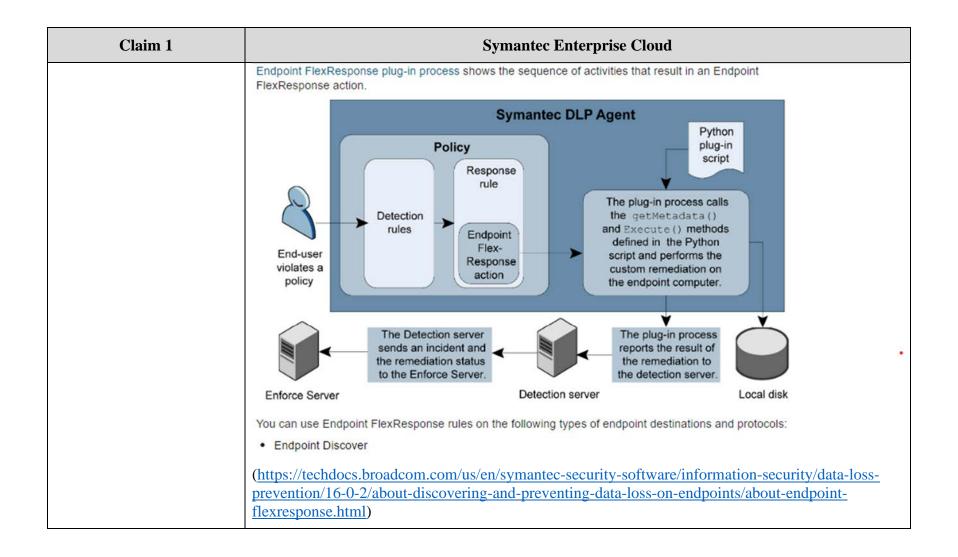
For example, you have a Japanese-locale endpoint and a Vietnamese-locale endpoint. The Vietnamese locale is not a supported locale. If a violation occurs on the Japanese-locale computer, the Enforce Server displays the Japanese notification. If no Japanese notification is available, the Enforce Server displays the default-language notification. If the Vietnamese-locale computer violates a policy, the Enforce Server displays the English notification because no Vietnamese notification is possible. If the English notification is unavailable, the Enforce Server displays the default-language notification.

If the first language you add is not supported on the endpoint, that language cannot be considered the default language. The endpoint must contain the specific language details to consider a language as the default language. Although the text of the notification appears in the unsupported language, the notification window buttons and title bar appear in the default locale of the Enforce Server.

If you want to define an unsupported language as the default language, you must select **Other** as the first language. This **Other** label removes all other languages in the list. Use the Endpoint configuration options to modify the text of the pop-up window labels. You cannot specify other language responses if you select the **Other** option. The **Other** setting displays that language notification on every endpoint, regardless of the system locale of the endpoints.

Claim 1	Symantec Enterprise Cloud
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/about-discovering-and-preventing-data-loss-on-endpoints/how-to-implement-endpoint-prevent/about-endpoint-prevent-response-rules-in-different-locales.html)
	Configuring the Endpoint Prevent: Notify action
	Last Updated May 3, 2024
	The Endpoint Prevent: Notify response rule action displays an on-screen notification to the endpoint user when the user attempts to copy or send a sensitive file. You can provide a reason for the notification as well as options for the endpoint user to give a justification for the action.
	About response rule actions
	This response rule action is available for Endpoint Prevent.
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/response-rules-2/configuring-the-endpoint-prevent-notify-action.html)

Claim 1	Symantec Enterprise Cloud
a business logic component,	About Endpoint FlexResponse Last Updated May 3, 2024
	Symantec Data Loss Prevention provides a set of response rule actions that you can specify to remediate an incident. These provided actions include logging, sending an email, blocking an end-user action, notifying a user, and other responses.
	You can also use Endpoint FlexResponse plug-ins to provide additional response actions. These plug-ins contain custom instructions for remediation actions that are executed on endpoints. Endpoint FlexResponse rules are only applicable to Automated Response rules. You cannot create Endpoint FlexResponse rule actions for Smart Response rules.
	Symantec Data Loss Prevention customers can contact Symantec or Symantec partners to obtain Endpoint FlexResponse plug-ins. In addition, developers with a knowledge of the Python programming language can create custom Endpoint FlexResponse plug-in scripts using a Symantec-provided API. These custom remediation actions can include encryption, applying Digital Rights Management (DRM), or redacting confidential information.
	Note The DLP Agent supports Python 3.8. Make sure that your custom Endpoint FlexResponse plug-in scripts have been updated to work with Python 3.8.
	You use the Endpoint FlexResponse utility to deploy Endpoint FlexResponse plug-ins on endpoints in your Symantec Data Loss Prevention deployment where you require Endpoint FlexResponse actions. You can deploy the plug-ins manually using the Endpoint FlexResponse utility, or you can use system management software (SMS) to distribute the utility and deploy the plug-ins. After you deploy an Endpoint FlexResponse plug-in on an endpoint, you use the Enforce Server administration console to add an Endpoint : FlexResponse action to a response rule, and then you add the response rule to an active policy.



Claim 1	Symantec Enterprise Cloud
a policy database	About policy creation for Endpoint Prevent Last Updated May 3, 2024
	Endpoint Prevent policies execute DCM and VML conditions locally on the endpoint. An Endpoint Prevent policy contains a response rule that creates a real-time user interaction. The user interaction either blocks a file transfer or notifies the user of a policy violation. These notifications are then attached to the incident.
	Endpoint policies also differ as to where the detection occurs. Detection for EDM and DGM policies is performed on the Endpoint Server. Detection for DCM and IDM policies is performed directly by the Symantec DLP Agent.
	The response rules Block, Notify, and User Cancel are performed only by the Symantec DLP Agent.
	Because detection for EDM, and DGM policies is performed on the Endpoint Server, the detection takes more time and uses more bandwidth. Extra time and bandwidth are required because file contents are sent to the Endpoint Server for detection. When an agent performs detection for IDM and DCM policies, it only sends incidents to the Endpoint Server.
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/about-discovering-and-preventing-data-loss-on-endpoints/about-policy-creation-for-endpoint-prevent.html)
	Creating an Endpoint Discover scan Last Updated May 3, 2024
	To create an Endpoint Discover scan, you set up an Endpoint Discover target. Later you configure the target meet your scanning requirements.
	The Endpoint Discover target can also be configured to scan specific locations on endpoints. The scan can use filters to target local drives, file types, or folders to find policy violations. For example, the fixed drive or the My Documents folder in Windows can be configured as a filter.

Claim 1	Symantec Enterprise Cloud
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/about-discovering-and-preventing-data-loss-on-endpoints/creating-an-endpoint-discover-scan.html)
a user database,	User Groups Last Updated May 3, 2024
	You define User Groups on the Enforce Server. User Groups contain user identity information that you populate by synchronizing the Enforce Server with a group directory server (Microsoft Active Directory).
	You must have server administrator privileges to define User Groups. You must define the User Groups before you synchronize users.
	Once you define a User Group, you populate it with users, groups, and business units from your directory server. After the user group is populated, you associate it with the User/Sender and Recipient detection rules or exceptions. The policy only applies to members of that User Group.
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/about-data-loss-prevention-policy-authoring/user-groups.html)

Claim 1	Symantec Enterprise Cloud
	Manage and add users
	Last Updated June 18, 2024
	The System > Login Management > DLP Users screen lists all the active user accounts in the system.
	For each user account, the following information is listed:
	User Name – The name the user enters to log on to the Enforce Server
	Email – The email address of the user
	 Access – The role(s) in which the user is a member
	Assuming that you have the appropriate privileges, you can add, edit, or delete user accounts as follows:
	 Add a new user account, or modify an existing one. Click Add to begin adding a new user to the system.
	Click anywhere in a row or the pencil icon (far right) to view and edit that user account.
	Configuring user accounts
	 Click the red X icon (far right) to delete the user account; a dialog box confirms the deletion.
	Note
	The Administrator account is created on install and cannot be removed from the system.
	Note
	When you delete a user account, you also delete all private saved reports that are associated with that user.

Claim 1	Symantec Enterprise Cloud
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-1/Manage-the-Enforce-Server/managing-users-and-rules/manage-and-add-users-v27499097-d297e4727.html)
a meta database	Enabling endpoint metadata detection Last Updated February 16, 2024
	By default metadata extraction is disabled for endpoints.
	To enable endpoint metadata extraction
	Log on to the Enforce Server administration console as a system administrator.
	Navigate to the System > Agents > Agent Configuration screen for the endpoint server you want to enable metadata extraction.
	Create a new endpoint configuration for metadata detection, or select the default configuration.
	Create a separate endpoint configuration for metadata detection
	4. Select the Advanced Agent Settings tab.
	5. Locate property Detection.ENABLE_METADATA.str in the list.
	Enter the value on for this property to enable metadata extraction.
	7. Click Save and Apply to save the configuration change.
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-1/about-data-loss-prevention-policies-v27576413-d327e9/supported-file-formats-for-metadata-extraction-v77411276-d327e136440/enabling-endpoint-metadata-detection-v80023038-d327e136628.html)

Claim 1	Symantec Enterprise Cloud		
	Crea	ting an Endpoint Discov	er scan
	Last Updated May 3, 2024		
	To create an Endpoint Discover scan, you set up an Endpoint Discover target. Later you configure the target meet your scanning requirements.		
	The Endpoint Discover target can also be configured to scan specific locations on endpoints. The scan can use filters to target local drives, file types, or folders to find policy violations. For example, the fixed drive or the My Documents folder in Windows can be configured as a filter.		
	Steps to o	onfigure scan settings for an Endpoint Discover scan ta	rget
	Step	Description	More information
	1	Configure a new Endpoint Discover target.	Go to the Manage > Discover Scanning > Discover Targets screen and click New Target, Endpoint File System.
			Creating a new Endpoint Discover target
	2	Configure the incremental or full scan.	You set this information on the General tab when you configure the new target.
			About Endpoint Discover incremental scanning
			About Endpoint Discover full scanning

Case 1:24-cv-00864-DII Document 1-10 Filed 08/01/24 Page 19 of 63

Claim 1	Symantec Enterprise Cloud			
	3	Configure the targeted endpoints.	You set this information on the Targeting tab when you configure the new target.	
			About scanning targeted endpoints	
	4	Add <u>location</u> , file size, date, and file type filters to the Endpoint Discover target.	You enter this information on the Filters tab when you configure the new target.	
			About Endpoint Discover filters	
	5	Configure the scan idle timeout and max scan duration settings.	You set this information on the Advanced tab when you configure the new target.	
			Configuring Endpoint Discover scan timeout settings	
	prevent	/techdocs.broadcom.com/us/en/symantec-securi ion/16-0-2/about-discovering-and-preventing-der-scan.html)	-	

Claim 1	Symantec Enterprise Cloud
	Guidelines for authoring Endpoint policies Last Updated May 3, 2024 Symantec Data Loss Prevention uses a two-tiered detection architecture to analyze activity on endpoints.
	Detection occurs either directly on DLP Agents or on the Endpoint Servers as required. Endpoint Servers can perform all types of detection, such as Exact Data Matching (EDM), Indexed Document Matching (IDM), and Directory Group Matching (DGM). Agents can perform Described Content Matching (DCM) and Indexed Document Matching (IDM). Symantec Data Loss Prevention can detect locally on keywords, regular expressions, and data identifiers. It must send input content to the Endpoint Server to detect on exact data fingerprints or indexed document fingerprints.
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/about-discovering-and-preventing-data-loss-on-endpoints/guidelines-for-authoring-endpoint-policies.html)

Claim 1	Symantec Enterprise Cloud
and a settings database;	Agent settings
	Last Updated May 3, 2024
	The Settings tab is divided into the following sections:
	Server Communication Server Communication settings
	Inspection Content Size Increasing the Inspection Content Size
	Resource Consumption on the Endpoint Host Resource Consumption on the Endpoint Host settings
	Resource Consumption for Endpoint Discover Scans Resource Consumption for Endpoint Discover Scans settings
	File Recovery Area Location File Recovery Area Location settings
	LiveUpdate Enabling LiveUpdate in Agent Configurations
	Safe Mode Safe Mode settings
	Cloud Storage Cloud Storage settings
	Printer/Fax Printer/Fax settings
	Proxy Agent proxy settings
	Microsoft Information Protection Microsoft Information Protection settings
	Browser Extension Enablement Reminder Browser Extension Enablement Reminder
	SEP Intensity Level About the SEP Intensive Protection file reputation service
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-
	prevention/16-0-2/about-discovering-and-preventing-data-loss-on-endpoints/adding-and-editing-agent-configurations/agent-settings.html.)

Claim 1	Symantec Enterprise Cloud
the forensic computing platform further comprising at least one endpoint that comprises a deployed software agent,	About Endpoint Discover Last Updated May 3, 2024 Endpoint Discover detects sensitive data on your desktop or your laptop endpoints. It consists of at least one Endpoint Server and at least one Symantec DLP Agent that runs on an endpoint. You can have many Symantec DLP Agents connected to a single Endpoint Server. Symantec DLP Agents: • Detect sensitive data in the endpoint file system. • Collect data on that activity. • Send incidents to the Endpoint Server. • Send the data to the associated Endpoint Server for analysis, if necessary. (https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/getting-started/introducing/about-endpoint-discover.html)

Claim 1	Symantec Enterprise Cloud
	About discovering and preventing data loss on endpoints
	Last Updated May 3, 2024
	To use Endpoint Discover or Endpoint Prevent features, you need to deploy DLP Agents and Endpoint Servers.
	Endpoint Prevent and Endpoint Discover both apply Data Loss Prevention policies to protect your sensitive or at-risk data. Sensitive or at-risk data can include credit card numbers or names, addresses, and identification numbers. You can configure both of these products to recognize and protect the files that contain sensitive data.
	SeeAbout Endpoint Prevent monitoring.
	Endpoint Prevent stops sensitive data from moving off endpoints and supported virtual desktops. For example, Endpoint Prevent can stop a file that contains credit card numbers from being transferred to eSATA, USB, or FireWire-connected media. Endpoint Prevent stops sensitive the files from being transferred to network shares. And Endpoint Prevent can monitor and prevent data from being transferred to applications you specify.
	Endpoint Discover scans the internal hard drives of an endpoint to identify stored confidential data so steps can be taken to inventory, secure, or relocate this data. It enables high-performance, parallel scanning of tens of thousands of endpoints with minimal system effect. Each DLP Agent can scan approximately 5 GB/hr. Users can set up Endpoint Discover scans to use multiple Endpoint Servers to increase performance and scan availability. Endpoint Discover can automatically quarantine confidential files either locally to a folder on the Windows endpoint computer (including to an encrypted folder) or remotely to a folder on the network. Endpoint features provides description of these features as well as where to find additional information.
	You can configure agent settings, group agents, set response rules, check agent health, and troubleshoot agents.
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/about-discovering-and-preventing-data-loss-on-endpoints.html)

Case 1:24-cv-00864-DII Document 1-10 Filed 08/01/24 Page 24 of 63

Claim 1	Symantec Enterprise Cloud
the deployed software agent comprising modules to detect, classify, delete, encrypt, and redact data stored on the at least one endpoint,	"the deployed software agent compris[es] modules to detect [and] classify data stored on the at least one endpoint"

About Endpoint Prevent monitoring

Last Updated May 3, 2024

Endpoint Prevent policies detect and block confidential information moving from Windows and macOS endpoints or virtual desktops in your organization. The Endpoint Server either pushes policies to DLP Agents or applies policies directly to files that are sent from the DLP Agents. Depending on the type of policy that you create, the policy is applied either by the DLP Agents directly or by the Endpoint Server. When DLP Agents or Endpoint Servers detect an activity that violates a policy rule, an incident is generated. You can review and remediate the incidents that display in the endpoint incident list.

(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/about-discovering-and-preventing-data-loss-on-endpoints/about-endpoint-prevent-monitoring.html)

Symantec Enterprise Cloud	
About Endpoint Discover Scanning	
Last Updated May 3, 2024	
Endpoint Discover scans the local drive of endpoints to find any currently existing files that violate your policies. Endpoint Discover scans all local drives on your endpoints. For example, if your computer has two physical local drives installed, Endpoint Discover scans both local drives for any files that violate your policies. Endpoint Discover does not scan those drives that are mounted through a network or removable media such as eSATA drives, flash drives, or SD cards.	
You can use Endpoint Discover to scan all the endpoints in an organization and scan only the specified endpoints in an organization. Endpoint Discover supports Windows, macOS, and Linux endpoints.	
Note Beginnign withSymantec Data Loss Prevention 15.0, Two Tier Detection (TTD) is not supported. However, even if a Two Tier Detection request is generated for DLP Agent versions earlier than 15.0, Endpoint Server ignores these agents, and does not perform two-tier detection.	
To start or stop a scan that is configured for an Endpoint Server, the DLP Agent must be connected to the Endpoint Server. If the DLP Agent is not connected to the Endpoint Server, the scan starts when it reconnects to the Endpoint Server. A scan is only complete when all of the endpoints have completed the scan. If one endpoint is disconnected from the Endpoint Server, the scan cannot complete until that endpoint reconnects or the scan times out. If an endpoint is disconnected after a scan has started, the endpoint continues the scan offline and communicates the status after it reconnects to the Endpoint Server. If the endpoint remains disconnected and exceeds a configured timeout period, the scan reports a timeout status.	
In a load-balanced environment, select all of the Endpoint Servers that connect to a load balancer. So that when endpoints connect to any of these Endpoint Servers, the endpoints receive the same scan details.	
All incidents are stored in the Agent Store until the computer is reconnected to the Endpoint Server. If the Agent Store exceeds the specified size limit, the scan pauses until the Agent reconnects to the Endpoint Server and transfers the incidents.	
(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-1/about-discovering-and-preventing-data-loss-on-endp-v98548126-d294e27/about-scanning-v16318536-d294e26629.html)	

Claim 1	Symantec Enterprise Cloud
	About the SEP Intensive Protection file
	reputation service
	Last Updated May 3, 2024
	Symantec Data Loss Prevention integrates with Symantec Endpoint Protection (beginning with SEP 14.0.1) to enable a new channel of Endpoint monitoring: SEP Intensive Protection. By leveraging the application reputation information that SEP provides, the DLP Agent can dynamically monitor applications and can prevent potentially harmful applications from accessing sensitive files on the endpoint.
	You can configure the DLP Agent to monitor applications of a specified reputation threshold established by SEP. The application reputations can be Malicious, Suspicious, or Unproven. You can use these reputations as conditions in response rules you create, so Symantec Data Loss Prevention can take different actions based on specific reputations for multiple endpoint channels and policies.
	The DLP Agent obtains the application reputation information from SEP in one of two ways:
	 If the SEP agent is installed on the endpoint, the SEP agent sends the information to the DLP Agent directly. If the SEP agent does not have information, the DLP Agent gets information from the SEP Intensive Protection file reputation service in the Symantec cloud.
	If the SEP agent is not installed, the SEP Cloud sends the information to the DLP Agent.
	The incident details for dynamic application monitoring include the application reputation. You can also filter incidents by SEP intensity level categories.
	The dynamic monitoring of applications based on reputation requires only an Endpoint Prevent license. No additional license is needed.
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/about-discovering-and-preventing-data-loss-on-endpoints/about-the-sep-intensive-protection-file-reputation-service.html)
	"the deployed software agent compris[es a] module[] to delete data stored on the at least one endpoint"

Claim 1	Symantec Enterprise Cloud
	Configuring the Endpoint Discover: Quarantine
	File action
	Last Updated May 3, 2024
	The Endpoint Discover: Quarantine File response rule action removes a file containing sensitive information from a non-secure location and places it in a secure location.
	This response rule action is specific to Endpoint Discover incidents. This response rule is not applicable to two-tiered detection methods requiring a Data Profile.
	If you use multiple endpoint response rules in a single policy, make sure that you understand the order of precedence for such rules.
	About response rule action execution priority
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-
	prevention/16-0-2/response-rules-2/configuring-the-endpoint-discover-quarantine-file-
	action.html#v39343965)
	Configuring the Delete Data-at-Rest action
	Last Updated May 3, 2024
	The Delete Data-at-Rest action deletes sensitive data in the following cloud applications through the Cloud Detection Service:
	Dropbox
	• Gmail
	Microsoft Office 365 Email
	To configure the Delete Data-at-Rest action
	Configure a response rule at the Configure Response Rule screen.
	Configuring response rules
	2. Add the Delete Data-at-Rest action type from the Actions list.
	The system displays the Delete Data-at-Rest field. Configuring response rule actions
	3. Click Save to save the configuration.
	Manage response rules

Case 1:24-cv-00864-DII Document 1-10 Filed 08/01/24 Page 29 of 63

Claim 1	Symantec Enterprise Cloud
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/response-rules-2/configuring-the-delete-data-at-rest-action.html#v119247645)
	"the deployed software agent compris[es a] module[] to encrypt data stored on the at least one endpoint"

Claim 1	Symantec Enterprise Cloud
	Configuring the Endpoint Prevent: Encrypt action
	Last Updated May 3, 2024
	The Endpoint Prevent: Encrypt response rule action automatically encrypts a sensitive file and displays a notification when a user attempts to do any of the following:
	 Transfer a sensitive file to a removable storage device A user can copy a sensitive file to the removable storage device through Windows Explorer, Command Line, or PowerShell. The DLP Agent blocks the Save As operation for an encrypted file on a removable storage device.
	 Transfer a sensitive file to a cloud storage application Examples of commonly used cloud storage applications are Box, Google Drive, Microsoft OneDrive, and so on.
	 Upload a sensitive file or folder with encrypted files with browsers using HTTPS on Windows endpoints When a user uploads a sensitive file or folder using a browser, the DLP Agent blocks a user action and automatically encrypts the file with an .html extension and replaces the original file at the source location. A user is then prompted to upload this encrypted file or folder using the browser to protect sensitive information.
	The maximum supported file size for the Endpoint Prevent: Encrypt response action is 150 MB.
	About response rule actions
	For information about the Endpoint Prevent: Encrypt response rule action, Response rule best practices
	When a violation is detected, the DLP Agent encrypts the file, the data transfer completes, and an incident is created. You can provide a reason for the notification as well as options for the endpoint user to enter a justification for the action. This response rule action is available for Endpoint Prevent on Windows and Mac endpoints.
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/response-rules-2/configuring-the-endpoint-prevent-encrypt-action.html)

About cloud storage application monitoring

Last Updated May 3, 2024

Endpoint cloud storage application monitoring provides monitor and prevent support for cloud file sync and share applications. You can access cloud storage application monitoring settings on the **System > Agents > Global Application Monitoring** screen.

If an endpoint user updates content in the files that a cloud application syncs, the cloud application attempts to upload the file to the cloud service. If a user adds sensitive content, Symantec Data Loss Prevention prevents the file from uploading to the cloud.

If you use a block response rule in the policy, Symantec Data Loss Prevention creates a Cloud Storage incident, and sensitive content is quarantined on the endpoint. The endpoint user can restore the previous file version from the configured recovery location where the file is saved indefinitely. File Recovery Area Location settings

(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/about-discovering-and-preventing-data-loss-on-endpoints/about-endpoint-prevent-monitoring/about-cloud-storage-application-monitoring.html)

Claim 1	Symantec Enterprise Cloud
	About Endpoint FlexResponse Last Updated May 3, 2024
	Symantec Data Loss Prevention provides a set of response rule actions that you can specify to remediate an incident. These provided actions include logging, sending an email, blocking an end-user action, notifying a user, and other responses.
	You can also use Endpoint FlexResponse plug-ins to provide additional response actions. These plug-ins contain custom instructions for remediation actions that are executed on endpoints. Endpoint FlexResponse rules are only applicable to Automated Response rules. You cannot create Endpoint FlexResponse rule actions for Smart Response rules.
	Symantec Data Loss Prevention customers can contact Symantec or Symantec partners to obtain Endpoint FlexResponse plug-ins. In addition, developers with a knowledge of the Python programming language can create custom Endpoint FlexResponse plug-in scripts using a Symantec-provided API. These custom remediation actions can include encryption, applying Digital Rights Management (DRM), or redacting confidential information.
	Note The DLP Agent supports Python 3.8. Make sure that your custom Endpoint FlexResponse plug-in scripts have been updated to work with Python 3.8.
	You use the Endpoint FlexResponse utility to deploy Endpoint FlexResponse plug-ins on endpoints in your Symantec Data Loss Prevention deployment where you require Endpoint FlexResponse actions. You can deploy the plug-ins manually using the Endpoint FlexResponse utility, or you can use system management software (SMS) to distribute the utility and deploy the plug-ins. After you deploy an Endpoint FlexResponse plug-in on an endpoint, you use the Enforce Server administration console to add an Endpoint : FlexResponse action to a response rule, and then you add the response rule to an active policy.

Case 1:24-cv-00864-DII Document 1-10 Filed 08/01/24 Page 33 of 63

Claim 1	Symantec Enterprise Cloud
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/about-discovering-and-preventing-data-loss-on-endpoints/about-endpoint-flexresponse.html)
	"the deployed software agent compris[es a] module[] to redact data stored on the at least one endpoint"

Configuring the Redact Data-in-Motion action

Last Updated May 3, 2024

The **Redact Data-in-Motion** action redacts sensitive data in applications through the Cloud Detection Service or API Detection for Developer Apps Appliance.

You can configure a message for your users to inform them why the sensitive data was redacted. The message appears in the message parameter of the detection response.

To configure the Redact Data-in-Motion action

Configure a response rule at the Configure Response Rule screen.

Configuring response rules

2. Add the Redact Data-in-Motion action type from the Actions list.

The system displays the **Redact Data-in-Motion** field. Configuring response rule actions

3. Configure the Redact Data-in-Motion parameter.

Redact Data-in-Motion configuration parameter

4. Click Save to save the configuration.

Manage response rules

Redact Data-in-Motion configuration parameter

Parameter	Description
Message	Enter a user-facing message for the Redact Data-in-Motion action in the message field. These details are returned in the message parameter of the detection result.

(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/response-rules-2/configuring-the-redact-data-in-motion-action.html)

Claim 1	Symantec Enterprise Cloud
	About Endpoint FlexResponse Last Updated May 3, 2024
	Symantec Data Loss Prevention provides a set of response rule actions that you can specify to remediate an incident. These provided actions include logging, sending an email, blocking an end-user action, notifying a user, and other responses.
	You can also use Endpoint FlexResponse plug-ins to provide additional response actions. These plug-ins contain custom instructions for remediation actions that are executed on endpoints. Endpoint FlexResponse rules are only applicable to Automated Response rules. You cannot create Endpoint FlexResponse rule actions for Smart Response rules.
	Symantec Data Loss Prevention customers can contact Symantec or Symantec partners to obtain Endpoint FlexResponse plug-ins. In addition, developers with a knowledge of the Python programming language can create custom Endpoint FlexResponse plug-in scripts using a Symantec-provided API. These custom remediation actions can include encryption, applying Digital Rights Management (DRM), or redacting confidential information.
	Note The DLP Agent supports Python 3.8. Make sure that your custom Endpoint FlexResponse plug-in scripts have been updated to work with Python 3.8.
	You use the Endpoint FlexResponse utility to deploy Endpoint FlexResponse plug-ins on endpoints in your Symantec Data Loss Prevention deployment where you require Endpoint FlexResponse actions. You can deploy the plug-ins manually using the Endpoint FlexResponse utility, or you can use system management software (SMS) to distribute the utility and deploy the plug-ins. After you deploy an Endpoint FlexResponse plug-in on an endpoint, you use the Enforce Server administration console to add an Endpoint : FlexResponse action to a response rule, and then you add the response rule to an active policy.

Claim 1	Symantec Enterprise Cloud
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/about-discovering-and-preventing-data-loss-on-endpoints/about-endpoint-flexresponse.html)
the forensic computing platform causing the following steps to occur when executing computer instructions stored in a memory of the cloud control server: receiving from the deployed software agent on the at least one endpoint a meta log associated with a first file comprising data, the meta log containing a first file name, data element tags comprising indicators that data fields or data types are included in the first file, and one or more of a date created, deleted, or modified, a user name, and an endpoint ID;	About document metadata detection Last Updated February 16, 2024 In addition to file content and subfile extraction, Symantec Data Loss Prevention supports metadata extraction for many file formats. File format metadata is data about a file that is stored as file properties. By default metadata extraction is disabled because it can lead to false positives. Used properly, metadata detection can enhance the accuracy of your content-based policy rules. For example, consider a business that uses Microsoft Office templates for their Word, Excel, and PowerPoint documents. The business applies Microsoft OLE metadata properties in the form of keywords to each template. The business has enabled metadata extraction and deployed keyword policies to match on metadata keywords. These policies can detect keywords in documents that are derived from the templates. The business also has the flexibility to use policy exceptions to avoid generating incidents if certain metadata keywords are present. (https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-1/about-data-loss-prevention-policies-v27576413-d327e9/supported-file-formats-for-metadata-extraction-v77411276-d327e136440/about-document-metadata-detection-v77411550-d327e136433.html)

Collecting Server Logs and Configuration Files

Last Updated June 27, 2024

Use the **Collection** tab of the **System > Servers and Detectors > Logs** screen to collect log files and configuration files from one or more Symantec Data Loss Prevention servers. You can collect files from a single detection server or from all detection servers, the Enforce Server computer and Network Discover Cluster. You can limit the collected files to only those files that were last updated in a specified range of dates.

Following are the details for log collection for all the Detection Servers (except Network Discover Cluster) and Network Discover Cluster:

Details of log collection

Location/Targets	Description	
All Detection Servers, except Network Discover Cluster	The Enforce Server administration console stores all log and configuration files that you collect in a single ZIP file on the Enforce Server computer. If you retrieve files from multiple Symantec Data Loss Prevention servers, each server's files are stored in a separate subdirectory of the ZIP file.	
Network Discover Cluster	For Network Discover Cluster log collection, when you select the Operational Logs, Debug and Trace Logs, or Configuration Files checkbox, the File Path and Credentials fields are displayed. Enter the file share path and credentials for a file share folder where you want to upload the cluster log files. You must have read and write permissions for this file share folder. The cluster logs are uploaded to this file share and they are not stored on the Enforce Server. The data node and all the worker nodes in the cluster upload their logs to this file share.	

Claim 1	Symantec Enterprise Cloud	
	File types for collection	
	File type	Description
	Operational Logs	Operational log files record detailed information about the tasks the software performs and any errors that occur while the software performs those tasks. You can use the contents of operational log files to verify that the software functions as you expect it to. You can also use these files to troubleshoot any problems in the way the software integrates with other components of your system.
		For example, you can use operational log files to verify that a Network Prevent for Email Server communicates with a specific MTA on your network.
	Debug and Trace Logs	Debug log files record fine-grained technical details about the individual processes or software components that comprise Symantec Data Loss Prevention. The contents of debug log files are not intended for use in diagnosing system configuration errors or in verifying expected software functionality. You do not need to examine debug log files to administer or maintain a Symantec Data Loss Prevention installation. However, Symantec Support may ask you to provide debug log files for further analysis when you report a problem. Some debug log files are not created by default. Symantec Support can explain how to configure the software to create the file if necessary.

Claim 1		Symantec Enterprise Cloud
	Configuration Files	Use the Configuration Files option to retrieve both logging configuration files and server feature configuration files.
		Logging configuration files define the overall level of logging detail that is recorded in server log files. Logging configuration files also determine whether specific features or subsystem events are recorded to log files.
		You can modify many common logging configuration properties by using the presets that are available on the Configuration tab.
		If you want to update a logging configuration file by hand, use the Configuration Files checkbox to download the configuration files for a server. You can modify individual logging properties using a text editor and then use the Configuration tab to upload the modified file to the server.
		Configuring server logging behavior
		The Configuration Files option retrieves the active logging configuration files and also any backup log configuration files that were created when you used the Configuration tab. This option also retrieves server feature configuration files. Server feature configuration files affect many different aspects of server behavior, such as the location of a syslog server or the communication settings of the server. You can collect these configuration files to help diagnose problems or verify server settings. However, you cannot use the Configuration tab to change server feature configuration files. You can only use the tab to change logging configuration files.

Claim 1	Symantec Enterprise Cloud	
	Agent Logs	Use the Agent Logs option to collect DLP agent service and operational log files from an Endpoint Prevent detection server. This option is available only for Endpoint Prevent servers. To collect the DLP Agent logs, you must have already pulled the log files from individual agents to the Endpoint Prevent detection server using a Pull Logs action.
		Use the Agent List screen to select individual agents and pull selected log files to the Endpoint Prevent detection server. Then use the Agent Logs option on this page to collect the log files.
		When the logs are pulled from the endpoint, they are stored on the Endpoint Server in an unencrypted format. After you collect the logs from the Endpoint Server, the logs are deleted from the Endpoint Server and are stored only on the Enforce Server. You can only collect logs from one endpoint at a time.
		/us/en/symantec-security-software/information-security/data-loss- g-servers-v15599809-d297e16684/collecting-server-logs-and- d297e24269.html)

DLP Agent Logs

Last Updated February 16, 2024

DLP Agent logs contain service and operational data for every DLP Agent. Each DLP Agent has multiple components that are logged. The amount of information that is logged can be configured by setting the log level for each DLP Agent component. After the log level for an DLP Agent component has been configured, the log can be collected and sent to Symantec Support. Symantec Support can use the log to troubleshoot a problem or to improve performance for a Symantec Data Loss Prevention Endpoint installation.

See Setting the log levels for an Endpoint Agent.

Gathering endpoint device IDs for removable devices

Last Updated February 16, 2024

You add device metadata information to the Enforce Server and create one or more policy detection methods that detect or except the specific device instance or class of device. The system supports the regular expression syntax for defining the metadata. The system displays the device metadata at the **Incident Snapshot** screen during remediation.

Creating and modifying endpoint device configurations

The metadata the system requires to define the device instance or device class is the **Device Instance ID**.

On Windows you can obtain the "Device Instance Id" from the Device Manager.

In addition, Symantec Data Loss Prevention provides DeviceID.exe for devices attached to Windows endpoints and DeviceID for devices attached to Mac endpoints. You can use these utilities to extract Device Instance ID strings and device regex information. These utilities also report what devices the system can recognize for detection. These utilities are available with the Enforce Server installation files.

Note

The Device Instance ID is also used by Symantec Endpoint Protection.

To obtain the Device Instance ID (on Windows)

- 1. Right-click My Computer.
- Select Manage.
- Select the Device Manager.
- Click the plus sign beside any device to expand its list of device instances.
- 5. Double-click the device instance. Or, right-click the device instance and select Properties.
- 6. Look in the Details tab for the Device Instance Id.
- 7. Use the ID to create device metadata expressions.

(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-1/about-data-loss-prevention-policies-v27576413-d327e9/configuring-endpoint-event-detection-conditions-v85252962-d327e125553/gathering-endpoint-device-ids-for-removable-device-v42760780-d327e126068.html)

Detecting data loss

Last Updated May 3, 2024

Symantec Data Loss Prevention detects data from virtually any type of message or file, any user, sender, or recipient, wherever your data or endpoints exist. You can use Data Loss Prevention to detect both the content and the context of data within your enterprise. You define and manage your detection policies from the centralized, Web-based Enforce Server administration console.

(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/about-data-loss-prevention-policy-authoring/detecting-data-loss.html)

Content that can be detected

Last Updated May 3, 2024

Symantec Data Loss Prevention detects data and document content, including text, markup, presentations, spreadsheets, archive files and their contents, email messages, database files, designs and graphics, multimedia files, image-based forms and more. For example, the system can open a compressed file and scan a Microsoft Word document within the compressed file for the keyword "confidential." If the keyword is matched, the detection engine flags the message as an incident.

Content-based detection is based on actual content, not the file itself. A detection server can detect extracts or derivatives of protected or described content. This content may include sections of documents that have been copied and pasted to other documents or emails. A detection server can also identify sensitive data in a different file format than the source file. For example, if a confidential Word file is fingerprinted, the detection engine can match the content emailed in a PDF attachment.

(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention-policy-authoring/detecting-data-loss/content-that-can-be-detected.html)

Claim 1	Symantec Enterprise Cloud
	Files that can be detected
	Last Updated May 3, 2024
	Symantec Data Loss Prevention recognizes many types of files and attachments based on their context, including file type, file name, and file size. Symantec Data Loss Prevention identifies over 300 types of files, including word-processing formats, multimedia files, spreadsheets, presentations, pictures, encapsulation formats, encryption formats, and others.
	For file type detection, the system does not rely on the file extension to identify the file type. For example, the system recognizes a Microsoft Word file even if a user changes the file extension to .txt. In this case the detection engine checks the binary signature of the file to match its type.
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/about-data-loss-prevention-policy-authoring/detecting-data-loss/files-that-can-bedetected.html)
storing the meta log in the cloud control server of the	About document metadata detection
forensic computing	Last Updated May 3, 2024
platform;	In addition to file content and subfile extraction, Symantec Data Loss Prevention supports metadata extraction for many file formats. File format metadata is data about a file that is stored as file properties. By default metadata extraction is disabled because it can lead to false positives. Used properly, metadata detection can enhance the accuracy of your content-based policy rules.
	For example, consider a business that uses Microsoft Office templates for their Word, Excel, and PowerPoint documents. The business applies Microsoft OLE metadata properties in the form of keywords to each template. The business has enabled metadata extraction and deployed keyword policies to match on metadata keywords. These policies can detect keywords in documents that are derived from the templates. The business also has the flexibility to use policy exceptions to avoid generating incidents if certain metadata keywords are present.

Claim 1	Symantec Enterprise Cloud
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/about-data-loss-prevention-policy-authoring/supported-file-formats-for-metadata-extraction/about-document-metadata-detection.html)
	Log files Last Updated May 3, 2024
	Symantec Data Loss Prevention provides a number of different log files that record information about the behavior of the software. Log files fall into these categories:
	 Operational log files record detailed information about the tasks the software performs and any errors that occur while the software performs those tasks. You can use the contents of operational log files to verify that the software functions as you expect it to. You can also use these files to troubleshoot any problems in the way the software integrates with other components of your system. For example, you can use operational log files to verify that a Network Prevent for Email Server communicates with a specific MTA on your network.
	Operational Log Files
	 Debug log files record fine-grained technical details about the individual processes or software components that comprise Symantec Data Loss Prevention. The contents of debug log files are not intended for use in diagnosing system configuration errors or in verifying expected software functionality. You do not need to examine debug log files to administer or maintain an Symantec Data Loss Prevention installation. However, Symantec Support may ask you to provide debug log files for further analysis when you report a problem. Some debug log files are not created by default. Symantec Support can explain how to configure the software to create the file if necessary. Debug Log Files
	 Installation log files record information about the Symantec Data Loss Prevention installation tasks that are performed on a particular computer. You can use these log files to verify an installation or troubleshoot installation errors. Installation log files reside in the following locations:
	 installdir\SymantecDLP\.install4j\installation.log stores the installation log for Symantec Data Loss Prevention.
	- installdir\oracle_home\admin\protect\ stores the installation log for Oracle.

Case 1:24-cv-00864-DII Document 1-10 Filed 08/01/24 Page 46 of 63

Claim 1	Symantec Enterprise Cloud	
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/maintaining-the-dlp-system/log-files.html)	

Claim 1	Symantec Enterprise Cloud		
	Operational log files		
	Log file name	Description	Server
	agentmanagement_webservices_access_0.log	Logs successful and failed attempts to access the Agent Management API web service.	Enforce Server
	agentmanagement_webservices_soap_0.log	Logs the entire SOAP request and response for most requests to the Agent Management API web Service.	Enforce Server
	boxmonitor_operational_0.log	The BoxMonitor process oversees the detection server processes that pertain to that particular server type.	All detection servers
		For example, the processes that run on Network Monitor are file reader and packet capture.	
		The BoxMonitor log file is typically very small, and it shows how the application processes are running.	
	detection_operational_0.log	The detection operation log file provides details about how the detection server configuration and whether it is operating correctly.	All detection servers

detection_operational_trace_0.log	The detection trace log file provides details about each message that the detection server processes. The log file includes information such as:	All detection servers
	 The policies that were applied to the message The policy rules that were 	
	 matched in the message The number of incidents the message generated. 	
machinelearning_training_operational_0.log	This log records information about the tasks, logs, and configuration files called on startup of the VML training process.	Enforce Server
manager_operational_0.log.	Logs information about the Symantec Data Loss Prevention manager process, which implements the Enforce Server administration console user interface.	Enforce Server
monitorcontroller_operational_0.log	Records a detailed log of the connections between the Enforce Server and all detection servers. It provides details about the information that is exchanged between these servers including whether policies have been pushed to the detection servers or not.	Enforce Server

Claim 1	Symantec Enterprise Cloud		
	SmtpPrevent_operational0.log	This operational log file pertains to SMTP Prevent only. It is the primary log for tracking the health and activity of a Network Prevent for Email system. Examine this file for information about the communication between the MTAs and the detection server.	SMTP Prevent detection servers
	WebPrevent_Access0.log	This access log file contains information about the requests that are processed by Network Prevent for Web detection servers. It is similar to web access logs for a proxy server.	Network Prevent for Web detection servers
	WebPrevent_Operational0.log	This operational log file reports on the operating condition of Network Prevent for Web, such as whether the system is up or down and connection management.	Network Prevent for Web detection servers
	WebPrevent_Operational0.log (https://techdocs.broadcom.com/us/en/symprevention/16-0-2/maintaining-the-dlp-symprevention/16-0-1/maintaining-the-dlp-sympreventio	on the operating condition of Network Prevent for Web, such as whether the system is up or down and connection management. nantec-security-software/information-sec	Prevent for Web detection servers

analyzing the data of the first file based on a configured setting and criteria;

About discovering and preventing data loss on endpoints

Last Updated May 3, 2024

To use Endpoint Discover or Endpoint Prevent features, you need to deploy DLP Agents and Endpoint Servers.

Endpoint Prevent and Endpoint Discover both apply Data Loss Prevention policies to protect your sensitive or at-risk data. Sensitive or at-risk data can include credit card numbers or names, addresses, and identification numbers. You can configure both of these products to recognize and protect the files that contain sensitive data.

SeeAbout Endpoint Prevent monitoring.

Endpoint Prevent stops sensitive data from moving off endpoints and supported virtual desktops. For example, Endpoint Prevent can stop a file that contains credit card numbers from being transferred to eSATA, USB, or FireWire-connected media. Endpoint Prevent stops sensitive the files from being transferred to network shares. And Endpoint Prevent can monitor and prevent data from being transferred to applications you specify.

Endpoint Discover scans the internal hard drives of an endpoint to identify stored confidential data so steps can be taken to inventory, secure, or relocate this data. It enables high-performance, parallel scanning of tens of thousands of endpoints with minimal system effect. Each DLP Agent can scan approximately 5 GB/hr. Users can set up Endpoint Discover scans to use multiple Endpoint Servers to increase performance and scan availability. Endpoint Discover can automatically quarantine confidential files either locally to a folder on the Windows endpoint computer (including to an encrypted folder) or remotely to a folder on the network. Endpoint features provides description of these features as well as where to find additional information.

You can configure agent settings, group agents, set response rules, check agent health, and troubleshoot agents.

Endpoint features		
Feature	Description	Additional information
Agent configuration	You can select which endpoint egress channels to monitor, and you can optimize monitoring by choosing appropriate filters. You can also configure server-agent communication bandwidth limits and agent resource consumption.	About agent configurations
Agent groups	You use agent groups to send agent configurations to groups of agents.	About agent groups
Agent health and management	You can review DLP Agent health and complete troubleshooting and management tasks.	About Symantec DLP Agent administration
Global application monitoring	You can configure this feature to monitor applications for CD/DVD burning, IM, email, or HTTP/S clients.	About global application monitoring
FlexResponse	You can create response rules that automatically remediate incidents.	About Endpoint FlexResponse
Endpoint tools	You use Endpoint tools to complete various maintenance tasks on the endpoint, like shutting down watchdog services, inspecting the agent database, and restarting Macagents.	Endpoint Tools

Claim 1	Symantec Enterprise Cloud
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/about-discovering-and-preventing-data-loss-on-endpoints.html)
	About Endpoint Prevent monitoring
	Last Updated May 3, 2024
	Endpoint Prevent policies detect and block confidential information moving from Windows and macOS endpoints or virtual desktops in your organization. The Endpoint Server either pushes policies to DLP Agents or applies policies directly to files that are sent from the DLP Agents. Depending on the type of policy that you create, the policy is applied either by the DLP Agents directly or by the Endpoint Server. When DLP Agents or Endpoint Servers detect an activity that violates a policy rule, an incident is generated. You can review and remediate the incidents that display in the endpoint incident list.
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/about-discovering-and-preventing-data-loss-on-endpoints/about-endpoint-prevent-monitoring.html)
	Endpoint events that can be detected
	Last Updated April 5, 2024
	Symantec Data Loss Prevention lets you detect data loss violations at several endpoint destinations. These destinations include the local drive, CD/DVD drive, removable storage devices, network file shares, Windows Clipboard, printers and faxes, and application files. You can also detect protocol events on the endpoint for email (SMTP), Web (HTTP), and file transfer (FTP) traffic.
	For example, the DLP Agent (installed on each endpoint computer) can detect the copying of a confidential file to a USB device. Or, the DLP Agent can allow the copying of files only to a specific class of USB device that meets corporate encryption requirements.
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0/about-data-loss-prevention-policies-v27576413-d327e9/detecting-data-loss-v15598681-d327e1049/endpoint-events-that-can-be-detected-v40065947-d327e1125.html)

Endnoint mat	
Last Updated April 5, 2024	tching conditions
Symantec Data Loss Prevention Endpoint events that can be de	on provides several conditions for matching endpoint events.
Endpoint matching conditions	
Condition	Description
Protocol or Endpoint Monitoring	Match endpoint messages transmitted using a specified transport protocol or when data is moved or copied to a particular destination.
	Introducing endpoint event detection
	Configuring the Endpoint Monitoring condition
Endpoint Device Class or ID	Match endpoint events occurring on specified hardware devices.
	Introducing endpoint event detection
	Configuring the Endpoint Device Class or ID condition
Endpoint Location	Match endpoint events depending if the DLP Agent is on or off the corporate network.
	Introducing endpoint event detection
	Configuring the Endpoint Location condition
(https://techdocs.broadcom.c	com/us/en/symantec-security-software/information-security/data-loss-
*	oss-prevention-policies-v27576413-d327e9/policy-matching-conditions-
v40499624-d327e1698/endp	oint-matching-conditions-v41286484-d327e2045.html#v41286484)
	Symantec Data Loss Prevention Endpoint events that can be described by the Endpoint matching conditions Condition Protocol or Endpoint Monitoring Endpoint Device Class or ID Endpoint Location (https://techdocs.broadcom.com/prevention/16-0/about-data-1

Claim 1	Symantec Enterprise Cloud
	About Data Loss Prevention Policy Authoring Last Updated May 3, 2024
	Use Symantec Data Loss prevention policy authoring features to detect and prevent data loss. DLP provides seven key features that enable you to create policies that protect your organization from data loss.
	You implement policies to detect and prevent data loss. A Symantec Data Loss Prevention policy combines detection rules and response actions. If a policy rule is violated, the system generates an incident that you can report and act on. The policy rules that you implement are based on your information security objectives. The actions that you take in response to policy violations are based on your compliance requirements. The Enforce Server administration console provides an intuitive, centralized, web-based interface for authoring policies.
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/about-data-loss-prevention-policy-authoring.html)

determining, based on the indicators of the data element tags, that a data classification associated with the data is inappropriate for the first file on the at least one endpoint; and

About Endpoint reports

Last Updated February 16, 2024

Use incident reports to track and remediate incidents on your endpoints. Symantec Data Loss Prevention reports an incident when it detects data that matches the detection parameters of a policy rule. Such data may include specific file content, an email sender or recipient, attachment file properties, or many other types of information. Each piece of data that matches detection parameters is called a match, and a single incident may include any number of individual matches.

Reporting for Endpoint Discover is found under the Discover Reporting section. Endpoint Discover incidents are marked to distinguish them from other types of Discover incidents.

Reporting for Endpoint Prevent is found in the Reports tab of the Enforce Server.

You can view the following reports:

- · Exec. Summary Endpoint
- · Incidents All
- · Incidents New
- · Policy Summary
- · Status Summary
- · Highest Offenders

If an incident is created that includes user justifications, those justifications are included in the report in the Incident snapshot section. For example, if a violation occurs that requires the user to enter the response User error, the incident report includes the text SPECIAL: User typed response: "User error".

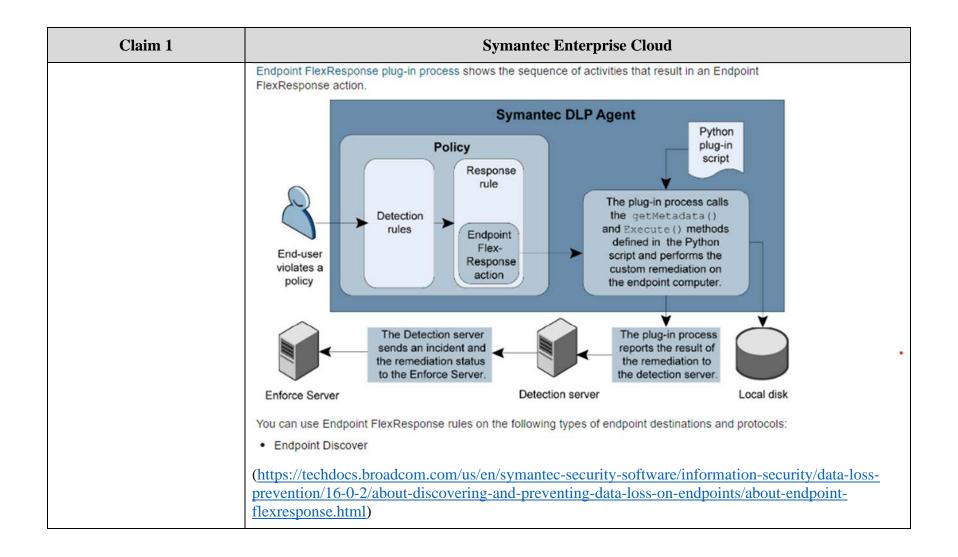
If the user selects a pre-generated justification, the justification appears in the report. Justifications appear in the detailed report under the header Justifications.

Justifications and notifications are not compatible with Endpoint Discover, therefore no justifications appear in Endpoint Discover reports.

You can also create customized reports for Endpoint Discover and Prevent. However, if the user is not on the network at the time the justification is entered, the justification section of the incident snapshot remains empty.

Claim 1	Symantec Enterprise Cloud
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-1/about-discovering-and-preventing-data-loss-on-endp-v98548126-d294e27/managing-target-scans-v97535512-d294e27271/about-endpoint-reports-v15602064-d294e366.html)
	Configuring the Endpoint: MIP Classification action
	Last Updated February 16, 2024
	When MIP classification is enabled for supported applications in the agent configuration, the Endpoint: MIP Classification response action enables DLP Agents and the Enforce Server to suggest classification labels for Microsoft Office documents and outgoing emails in Microsoft Outlook that contain confidential information. Alternatively, DLP Agents can apply labels automatically when the Endpoint: MIP Classification response action is triggered.
	Note
	 MIP classification is available for outgoing emails in Microsoft Outlook only on Windows endpoints. If an email already has a label that enforces MIP encryption, DLP does not inspect the email again for classification.
	Labels are applied to the email body only.
	Regardless of whether a label is suggested to users or whether a label is applied automatically, the Endpoint: MIP Classification response action enables you to configure a pop-up notification that is displayed to users.
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-1/about-response-rules-v40462357-d339e11/Configuring-the-EndpointMIP-Classification-actionhtml)

and remediating the first file when the determined data classification is inappropriate for the at least one endpoint, the remediating being one of encrypting, deleting, or redacting the data within the first file. About Endpoint FlexResponse Last Updated May 3, 2024 Symantec Data Loss Prevention provides a set of response rule actions that you can specify to remediate an incident. These provided actions include logging, sending an email, blocking an end-user action, notifying a user, and other responses. You can also use Endpoint FlexResponse plug-ins to provide additional response actions. These plug-ins contain custom instructions for remediation actions that are executed on endpoints. Endpoint	Claim 1	Symantec Enterprise Cloud
FlexResponse rule actions for Smart Response rules. Symantec Data Loss Prevention customers can contact Symantec or Symantec partners to obtain Endpoin FlexResponse plug-ins. In addition, developers with a knowledge of the Python programming language car create custom Endpoint FlexResponse plug-in scripts using a Symantec-provided API. These custom remediation actions can include encryption, applying Digital Rights Management (DRM), or redacting confidential information. Note The DLP Agent supports Python 3.8. Make sure that your custom Endpoint FlexResponse plug-in scripts have been updated to work with Python 3.8. You use the Endpoint FlexResponse utility to deploy Endpoint FlexResponse plug-ins on endpoints in your Symantec Data Loss Prevention deployment where you require Endpoint FlexResponse actions. You can deploy the plug-ins manually using the Endpoint FlexResponse utility, or you can use system management	and remediating the first file when the determined data classification is inappropriate for the at least one endpoint, the remediating being one of encrypting, deleting, or redacting the data within the	About Endpoint FlexResponse Last Updated May 3, 2024 Symantec Data Loss Prevention provides a set of response rule actions that you can specify to remediate an incident. These provided actions include logging, sending an email, blocking an end-user action, notifying a user, and other responses. You can also use Endpoint FlexResponse plug-ins to provide additional response actions. These plug-ins contain custom instructions for remediation actions that are executed on endpoints. Endpoint FlexResponse rules are only applicable to Automated Response rules. You cannot create Endpoint FlexResponse rule actions for Smart Response rules. Symantec Data Loss Prevention customers can contact Symantec or Symantec partners to obtain Endpoint FlexResponse plug-ins. In addition, developers with a knowledge of the Python programming language can create custom Endpoint FlexResponse plug-in scripts using a Symantec-provided API. These custom remediation actions can include encryption, applying Digital Rights Management (DRM), or redacting confidential information. Note The DLP Agent supports Python 3.8. Make sure that your custom Endpoint FlexResponse plug-in scripts have been updated to work with Python 3.8. You use the Endpoint FlexResponse utility to deploy Endpoint FlexResponse plug-ins on endpoints in your Symantec Data Loss Prevention deployment where you require Endpoint FlexResponse actions. You can deploy the plug-ins manually using the Endpoint FlexResponse utility, or you can use system management software (SMS) to distribute the utility and deploy the plug-ins. After you deploy an Endpoint FlexResponse plug-in on an endpoint, you use the Enforce Server administration console to add an Endpoint:



Response rule actions for endpoint detection

Last Updated May 3, 2024

Symantec Data Loss Prevention provides several response rule actions for Endpoint Prevent and Endpoint Discover.

Available Endpoint response rule actions

Response rule action	Description
Endpoint: FlexResponse	Take custom action using the FlexResponse API.
	Configuring the Endpoint: FlexResponse action
Endpoint Discover: Information Centric Defense	The Endpoint Discover: Information Centric Defense response rule action flags sensitive files for Symantec Endpoint Protection (SEP) monitoring.
Endpoint Discover: Quarantine File	Quarantine a discovered sensitive file.
	Configuring the Endpoint Discover: Quarantine File action
Endpoint Prevent: Block	Block the transfer of data that violates the policy.
	For example, block the copy of confidential data from an endpoint to a USB flash drive.
	Configuring the Endpoint Prevent: Block action
Endpoint Prevent: Notify	Display an on-screen notification to the endpoint user when confidential data is transferred.
	Configuring the Endpoint Prevent: Notify action
Endpoint Prevent: User Cancel	Allow the user to cancel the transfer of a confidential file. The override is time sensitive.
	Configuring the Endpoint Prevent: User Cancel action

Case 1:24-cv-00864-DII Document 1-10 Filed 08/01/24 Page 60 of 63

Claim 1	Symantec Enterprise Cloud
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/response-rules-2/response-rule-actions-for-endpoint-detection.html)

Claim 1	Symantec Enterprise Cloud	
	Configuring the Redact Data-in-Motion action Last Updated February 16, 2024	
	The Redact Data-in-Motion action redacts sensitive data in applications through the Cloud Detection Service or API Detection for Developer Apps Appliance.	
	You can configure a message for your users to inform them why the sensitive data was redacted. The message appears in the message parameter of the detection response.	
	To configure the Redact Data-in-Motion action	
	 Configure a response rule at the Configure Response Rule screen. 	
	Configuring response rules	
	2. Add the Redact Data-in-Motion action type from the Actions list.	
	The system displays the Redact Data-in-Motion field. Configuring response rule actions	
	3. Configure the Redact Data-in-Motion parameter.	
	Redact Data-in-Motion configuration parameter	
	4. Click Save to save the configuration.	
	Manage response rules	
	Redact Data-in-Motion configuration parameter	
	Parameter Description	
	Message Enter a user-facing message for the Redact Data-in-Motion action in the message field. These details are returned in the message parameter of the detection result.	

Claim 1	Symantec Enterprise Cloud
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-1/about-response-rules-v40462357-d339e11/configuring-the-redact-data-in-motion-action-v119247995-d339e7307.html)
	Configuring the Endpoint Discover: Quarantine File action Last Updated May 3, 2024
	The Endpoint Discover: Quarantine File response rule action removes a file containing sensitive information from a non-secure location and places it in a secure location.
	This response rule action is specific to Endpoint Discover incidents. This response rule is not applicable to two-tiered detection methods requiring a Data Profile.
	If you use multiple endpoint response rules in a single policy, make sure that you understand the order of precedence for such rules.
	About response rule action execution priority
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/response-rules-2/configuring-the-endpoint-discover-quarantine-file-action.html#v39343965)

Claim 1	Symantec Enterprise Cloud
	Configuring the Endpoint Prevent: Encrypt action
	Last Updated May 3, 2024
	The Endpoint Prevent: Encrypt response rule action automatically encrypts a sensitive file and displays a notification when a user attempts to do any of the following:
	 Transfer a sensitive file to a removable storage device A user can copy a sensitive file to the removable storage device through Windows Explorer, Command Line, or PowerShell. The DLP Agent blocks the Save As operation for an encrypted file on a removable storage device.
	 Transfer a sensitive file to a cloud storage application Examples of commonly used cloud storage applications are Box, Google Drive, Microsoft OneDrive, and so on.
	 Upload a sensitive file or folder with encrypted files with browsers using HTTPS on Windows endpoints When a user uploads a sensitive file or folder using a browser, the DLP Agent blocks a user action and automatically encrypts the file with an .html extension and replaces the original file at the source location. A user is then prompted to upload this encrypted file or folder using the browser to protect sensitive information.
	The maximum supported file size for the Endpoint Prevent: Encrypt response action is 150 MB.
	About response rule actions
	For information about the Endpoint Prevent: Encrypt response rule action, Response rule best practices
	When a violation is detected, the DLP Agent encrypts the file, the data transfer completes, and an incident is created. You can provide a reason for the notification as well as options for the endpoint user to enter a justification for the action. This response rule action is available for Endpoint Prevent on Windows and Mac endpoints.
	(https://techdocs.broadcom.com/us/en/symantec-security-software/information-security/data-loss-prevention/16-0-2/response-rules-2/configuring-the-endpoint-prevent-encrypt-action.html)